IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANTS: Seth I. Merrin *et al.*

APPLICATION NO.: 09/834,171

FILING DATE: April 12, 2001

TITLE: ELECTRONIC SECURITIES MARKETPLACE HAVING INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

EXAMINER: UNASSIGNED

GROUP ART UNIT: 2161

ATTY. DKT. NO.: 22172-05507

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner For Patents, Washington, DC 20231, on the date shown below:

Dated: June ___ZO___ , 2001   By: _____
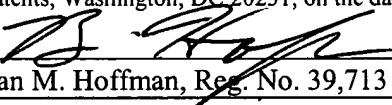
Brian M. Hoffman, Reg. No. 39,713

BOX MISSING PARTS
COMMISSIONER FOR PATENTS
WASHINGTON, DC 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

SIR:

Responsive to Notice to File Missing Parts dated June 8, 2001 received in the above-identified patent application,

☒ Enclosed are:

☒ a copy of the Notice to File Missing Parts;

☒ an original, signed Declaration;

☒ an original, signed Power of Attorney or Authorization of Agent;

☐ an Application Data Sheet;

☒ payment in the amount of $653 for the

    ☒ application filing fee;

    ☒ fee for additional claims; and

    ☒ missing parts surcharge.

☐ Other

☒ Applicant claims small entity status under 37 C.F.R. § 1.27.

Respectfully submitted,

SETH I. MERRIN *et al.*

Dated: June_____, 2001   By: _____

Brian M. Hoffman, Reg. No. 39,713
Attorney for Applicants
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (415) 875-2484
Fax: (415) 281-1350

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JUN 2 5 2001

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0001/PTO Rev. 10/95 U.S. Department of Commerce Patent and Trademark Office	Application Number	09/834,171
	Filing Date	April 12, 2001
TRANSMITTAL FORM	First Named Inventor	Seth I. Merrin *et al.*
(to be used for all correspondence during pendency of filed application)	Group Art Unit Number	2161
	Examiner Name	Unassigned
Total Number of Pages in This Submission 11	Attorney Docket Number	22172-05507

ENCLOSURES   *(check all that apply)*

☒ Fee Transmittal Form (in duplicate)
  ☒ Check Enclosed
☒ Return Receipt Postcard
☒ Response to Notice to File Missing Parts
☒ Copy of Notice to File Missing Parts
☒ Declaration
☒ Power of Attorney
☐ Application Data Sheet
☐ Information Disclosure Statement & PTO-1449
  ☐ Copies of IDS Cited References
☐ Request for Corrected Filing Receipt
☐ Request for Correction of Recorded Assignment
☐ Amendment/Response: [ ] Page(s)
  ☐ After Final
☐ Status Request
☐ Revocation and Substitute Power of Attorney

☐ Issue Fee Transmittal
☐ Letter to Chief Draftsperson
☐ Formal Drawing(s):
  [ ] Sheet(s) of Figure(s) [ ]
☐ Appeal Communication to Board of Appeals and Interferences
☐ Appeal Communication to Group *(Appeal Notice, Brief, Reply Brief)*
☐ Certified Copy of Priority Document(s)
☐ After Allowance Communication to Group
☐ _____
☐ _____
☐ _____
☐ _____
☐ _____
☐ _____
☐ _____

REMARKS:

SIGNATURE OF ATTORNEY OR AGENT
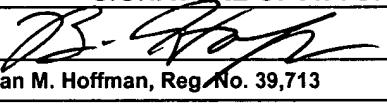
Signature:			
Attorney/Reg. No.:	Brian M. Hoffman, Reg. No. 39,713	Dated:	June 20, 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, DC 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.
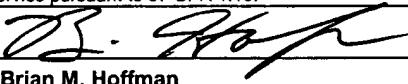
Signature:			
Typed or Printed Name:	Brian M. Hoffman	Dated:	June 20, 2001
Express Mail Mailing Number *(optional)*:			

22172/05507/SF/5052182.1

0002/PTO(modified)
Rev. 10/2000

U.S. Department of Commerce
Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = **($) 653.00**

Complete if Known	
Application Number	09/834,171
Filing Date	April 12, 2001
First Named Inventor	Seth I. Merrin *et al.*
Group Art Unit	2161
Examiner Name	UNASSIGNED
Attorney Docket Number	22172-05507

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to:

☐ Charge the indicated fees to the below mentioned deposit account.

☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †

☒ Applicant claims small entity status See 37 CFR 1.27

Deposit Account Number: 19-2555
Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☒ Payment Enclosed:
☒ Check ☐ Credit Card ☐ Other

FEE CALCULATION (fees effective 10/01/2000)

1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/$710	201/$355	Utility Filing	355
106/$320	206/$160	Design Filing	
108/$710	208/$355	Reissue	
114/$150	214/$75	Provisional Filing	

SUBTOTAL (1) ($) 355

2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/$18	203/$9	Claims in excess of 20
102/$80	202/$40	Independent claims in excess of 3
104/$270	204/$135	Multiple dependent claim
109/$80	209/$40	Reissue independent claims over original patent
110/$18	210/$9	Reissue claims in excess of 20 and over original patent

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/$130	205/$65	Surcharge - late filing fee or oath	65
127/$50	227/$25	Surcharge-late provisional filing fee or cover sheet	
147/$2,520	147/$2,520	For filing a request for reexamination	
115/$110	215/$55	Extension for response within first month†	
116/$390	216/$195	Extension for response within second month†	
117/$890	217/$445	Extension for response within third month†	
118/$1,390	218/$695	Extension for response within fourth month†	
128/$1,890	228/$945	Extension for response within fifth month†	
119/$310	219/$155	Notice of Appeal	
141/$1,240	241/$620	Petition to revive unintentionally abandoned application	
142/$1,240	242/$620	Utility Issue Fee (Or Reissue)	
143/$440	243/$220	Design Issue Fee	
122/$130	122/$130	Petitions to the Commissioner	
126/$180	126/$180	Submission of Information Disclosure Statement	
179/$710	279/$355	Request for Continued Examination (RCE)	
581/$40	581/$40	Recording each patent assignment per property (times number of properties)	
146/$710	246/$355	Filing a submission after final rejection (37 CFR 1.129(a))	
149/$710	249/$355	For each additional invention to be examined (37 CFR 1.129(b))	
		Other fee (specify):	
		Other fee (specify):	

SUBTOTAL (3) ($) 65

	(Col. 1) No. of Existing Claims		(Col. 2) Highest No. Previously Paid For			(Col. 3) Extra**		Fee		Fee Due
TOTAL	37	minus*	20	or	0	=	17	x	9	= 163
INDEP	5	minus*	3	or	0	=	2	x	40	= 80
[ ] First presentation of multiple dependent claim										=

* Subtract the greater number of Col. 2
** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) ($) 233

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Brian M. Hoffman	Reg. Number	39,713
Signature		Date	June 20, 2001

† *Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby*

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/834,171	04/12/2001	Seth I. Merrin	22172-05507

CONFIRMATION NO. 2698

00758
FENWICK & WEST LLP
TWO PALO ALTO SQUARE
PALO ALTO, CA 94306

FORMALITIES LETTER

OC000000006162049

Date Mailed: 06/08/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
  Applicant must submit $ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is $466.
  - $306 for **17** total claims over 20.
  - $160 for **2** independent claims over 3 .
- The oath or declaration is missing.
  A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of $130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is $ 1306.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202
PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/27/2001 MBERHE   00000098 09834171

01 FC:201   355.00 OP
02 FC:205   65.00 OP
03 FC:203   153.00 OP
04 FC:202   80.00 OP